

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of

Edward R. Howorka

Date: August 10, 2001

Serial No.: Not Yet Known

Group Art Unit: --

Filed: Herewith

Examiner: --

For: ANONYMOUS TRADING SYSTEM WITH IMPROVED QUOTE INPUT
CAPABILITIESAssistant Commissioner for Patents
Washington, DC 20231INFORMATION DISCLOSURE STATEMENT

Sir:

Submitted herewith is a Form PTO-1449 listing references for consideration by the Examiner. Applicant respectfully requests that the listed references be made of record in the subject application.

In accordance with 37 C.F.R. §1.98(d), copies of any of the listed references which were previously cited by or submitted to the U.S. Patent and Trademark Office in parent application Serial No. 09/029,181 are not included with this submission.

No fee is deemed necessary in connection with the filing of the subject Information Disclosure Statement. However, in the event a fee is required or if any additional fee due during the pendency of this application is not paid, the Patent and Trademark Office is authorized to charge the underpayment to Deposit Account No. 15-0700.

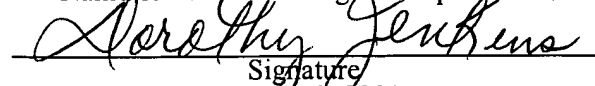
EXPRESS MAIL CERTIFICATE

Respectfully submitted,

I hereby certify that this correspondence is being deposited with the United States Postal Service as Express Mail Post Office to Addressee (mail label #EL611014041US) in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on August 10, 2001

Dorothy Jenkins

Name of Person Mailing Correspondence

Signature
August 10, 2001

Date of Signature


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APPLICANT'S ART CITATION

(Use several sheets if necessary)

Application Not Yet Known

OFGS File No. P/3331-323

Applicant Edward R. Howorka

Filing Date Herewith

Group Art Unit --

 Jc978 U.S. PRO
 09/22/86
 08/10/01

U.S. PATENT DOCUMENTS

Examiner Initial	Document Number							Date	Name	Class	Sub-class	Filing Date If Appropriate
	6	0	1	4	6	2	7	1/2000	Togher et al.	705	1	
	4	4	1	2	2	8	7	10/1983	Braddock, III	364	408	
	5	1	3	6	5	0	1	08/1992	Silverman et al.	364	408	
	5	2	7	0	9	2	2	12/1993	Higgins	364	408	
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	5	7	1	7	9	8	9	02/1998	Tozzoli et al.	705	37	

FOREIGN PATENT DOCUMENTS

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												Yes	No

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

1.	C. Howe, "Wiring the World," Datamation; p. 58 (10/01/1984)
2.	Merrill Lynch's Network Add-On Makes Bid as a National Market Entry," Data Communications; p. 20 (12/1979).
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4.	P.S. Duggal, "Hummingbird's Shares Now Trade in NASDAQ National Market," PR Newswire; p. 425 (4/1994).
5.	M. Beauchamp, "Individual Investor Orders Would be Displayed in Best Quote on NASDAQ Under New Proposal," PR Newswire; p. 925 (9/1995).
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7.	J. Hodges, "NASDAQ Launches the Small Order Execution System, for Rapid Execution of Trades of up to 500 Shares," PR Newswire (12/1984).
8.	J.P. Bunting, "The Changing Securities Game," Management Review; vol. 79, no. 1; p. 64 (1/1990).
9.	"QTC Trading Systems Lead in Race to Automate (the National Association of Securities Dealers NASDAQ National Market System Handles the Top 2,610 Over-the-Counter Stocks)," Wall Street Computer Review; vol. 8, no. 2; pg. 31(5) (11/1990).

Examiner

Date Considered

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the applicant.

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	10.	S. O'Henev, "Can Image Processing Preclude Paper?" (Includes related article on desktop publishing). Computers in Banking; vol. 5, no. 9; p. 32(5) (9/1998).									
	11.	I. Schmerken, "The Electronic Broker that Could (Charles Schwab and Company Inc., Schwab Architecture Migration Strategy Upgrade Project)," Wall Street Computer Review; vol. 8, no. 12; p. 42(5) (9/1991).									
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	19.	R.D.R. Hoffmann, "A Margin for the Electronic Broker," Personal Computer, p. 90(3) (10/1989).									
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	20.	K. Corcella, "Packing Proprietary System for Overseas," Wall Street & Technology; vol. 11, no. 12; p. 14 (4/1994).											
	21.	K.G. Golden, "Toronto's Perpetual Project," Wall Street & Technology; vol. 12, no. 9; p. 18(3) (3/1993).											
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